

Schedule 83

BOARD OF ENGINEERS AND ARCHITECTS

November 1, 2016

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE

83

AGENCY, BOARD OR COMMISSION

BOARD OF ENGINEERS AND ARCHITECTS

DIVISION, BUREAU OR OTHER UNIT

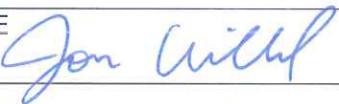
**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

Supersedes Edition of April 2, 2013

PART I – AGENCY STATEMENT:

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE



TITLE

Executive Director

DATE

10/19/2016

PART II – APPROVAL OF STATE ARCHIVES:

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE



DATE

10/25/2016

PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:

The attached schedule has been reviewed, all audit material has been properly identified, and this schedule is approved as submitted.

SIGNATURE



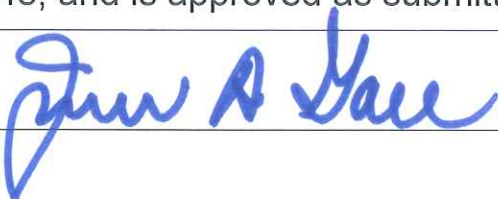
DATE

10/31/16

PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE



DATE

11/1/16

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, **regardless of the media on which they reside**, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. This retention schedule, which is approved by the State Records Administrator, provides your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. For records requiring a review of, or transfer to the **NE State Historical Society (State Archives)**, your agency is required to contact the State Archives to negotiate the transfer. Additionally, **once the records are accessioned into their collection, they become the property of the State Archives** (Neb. Rev. Stat. §82-105). The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Neb. Rev. Stat. §82-107). Please contact their office by calling (402) 471-4783.
4. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the 2nd to the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Specialist in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Specialist in Records Management can assist you with the schedule update, which may involve adding new records series and making revisions to existing items. Keeping your schedule current will ensure you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or the Records Management Specialist in Records Management. They will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

**SCHEDULE 83
BOARD OF
ENGINEERS AND ARCHITECTS
November 1, 2016**

Retention requirements are for all records, regardless of the media on which they reside, unless otherwise noted.

Supersedes Edition of April 2, 2013

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
83-1	CERTIFICATES OF AUTHORIZATION FILES	Files which may include but are not limited to an application completed by an organization for authorization to practice or offer to practice engineering and/or architecture in Nebraska; notices of change(s) to contact information, responsible charge, organization's officers; and biennial renewal notices returned with payment.	ORIGINAL RECORD: Scan to WORK FILE upon board action; dispose of after image verification DATABASE RECORD: 100 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) ELECTRONIC WORK FILE: 20 years after expiration OR when no longer of administrative value as determined by the Executive Director (whichever is later)	•Neb. Rev. Stat. §81-3436 •Records contained in agency database
83-2	COMPLIANCE/ INVESTIGATION - FORMAL HEARING FILES	Records of contested cases heard in accordance with -Title 53, Nebraska Administrative Code, Chapter 4 of the Nebraska Department of Justice.	ORIGINAL RECORD: 20 years after dismissal or completion of sentence or penalty OR when no longer of administrative value as determined by the Compliance Officer (whichever is later) COPY FINAL ORDERS: Retain one copy; 50 years <i>NOTE: If Respondent licensed in Nebraska, copy of final decision/order is retained in licensee's ENGINEER/ARCHITECTS PROFESSIONAL FILES, item 83-9</i>	•Records contained in paper file •Summary may be contained in agency database
83-3	COMPLIANCE/ INVESTIGATION FILES	Files established as a result of receiving notice of possible infraction of the Engineers and Architects Regulation Act. Files may include, but are not limited to: original complaint, correspondence between the complainant and/or respondent, resolution and/or consent orders related to the complaint.	ORIGINAL RECORD: 5 years after date of final decision OR when no longer of administrative value as determined by the Compliance Officer (whichever is later) <i>NOTE: If Respondent licensed in Nebraska, copy of final decision is retained in licensee's ENGINEERS/ARCHITECTS PROFESSIONAL FILES, item 83-9</i> DATABASE RECORD: 20 years OR when no longer of administrative value as determined by Compliance Officer (whichever is later)	•Records contained in paper file •Summary may be contained in agency database

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
83-4	DATABASE DISASTER RECOVERY DATA	Data (records) from the agency's licensing database are copies to back-up on the agency's server by the agency Information Technology (IT) staff for the purpose of disaster recovery preparation. The data is used for system restoration in the event of a disaster or system failure. Disaster recovery back-ups are never to be used or considered for records access or management purposes.	HOURLY: 2 days DAILY: 14 days WEEKLY: 60 days MONTHLY: Backed up to electronic media; 2 years	
83-5	ENGINEERS/ARCHITECTS - CONTINUING EDUCATION AUDITS	Files established each renewal period of professional engineers and architects who have been randomly selected for Continuing Education (CE) audits. Files may include, but are not limited to: logs, copies of course completion certificates, auditor's evaluation and any related correspondence.	ORIGINAL RECORD: Dispose of after completion of CE audit AUDITOR'S EVALUATION: Scan to individual's ENGINEERS/ARCHITECTS - PROFESSIONAL FILES, item 83-9; dispose of after image verification	
83-6	ENGINEERS/ARCHITECTS - LICENSE RENEWAL RECEIPTS	License renewals for professional and emeritus engineers and architects. Renewals may be completed online or via a paper renewal form. Online renewal information is imported directly into the database and a daily payment report is printed. These records are retained for financial audit purposes only; they do not become part of the licensee's professional file. Any contact information changes are either entered via the online import or manually from the paper renewal form and a comment is added to the database.	PAPER RECORD: See ACCOUNTS RECEIVABLE, item 124-3 DATABASE RECORD: 5 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)	
83-7	ENGINEERS/ARCHITECTS - PROFESSIONAL FILES	Individual files of Nebraska licensed architects and professional engineers currently licensed in the state. The file may include, but is not limited to: applications, online application summary, intern documentation, correspondence, college transcripts, reference replies, exam results, interview rating sheets and any other related documentation.	DATABASE RECORD: 100 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) ELECTRONIC WORK FILE: 20 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)	Records contained in agency database
83-8	ENGINEERS/ARCHITECTS - REINSTATEMENT APPLICATIONS	Application or online application summary completed by an applicant whose license to practice engineering or architecture has expired. Files may include, but are not limited to: affidavits, continuing education logs and correspondence.	APPLICATION/LOGS/AFFIDAVITS: Scan to individual's ENGINEERS/ARCHITECTS - PROFESSIONAL FILES, item 83-9 CONTINUING EDUCATION SUPPORT DOCUMENTS: After board approval of reinstatement OR as determined by Compliance Officer (whichever is later)	Records contained in agency database

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
83-9	EXAMINATION RESULTS MATERIAL	May include results of NCEES (National Council of Examiners for Engineers and Surveyors) and NCARB (National Council of Architectural Boards) examinations, examination results tabulated by the Nebraska Board of Engineers and Architects, examination questions, solution booklets, and answer keys.	ORIGINAL RECORD: Scan to WORK FILE 15 years after examination date; dispose of after image verification ELECTRONIC WORK FILE: 100 years OR when no longer of administrative value, as determined by the Executive Director (whichever is later)	
83-10	EXAMINEE FILES	Files showing the applicant has taken and passed either of the engineering exams or all sections of the architecture exams. Exams may include, but are not limited to: Architect Registration Exam (ARE), Fundamentals of Engineering (FE), and Principals and Practices of Engineering (PE). Files may include, but are not limited to: application form or online summary, correspondence and supporting documents.	ORIGINAL RECORD ARE/PE APPROVED: Scan to WORK FILE upon board action; dispose of after image verification; move to ENGINEERS/ ARCHITECTS- PROFESSIONAL FILE, item 83-9 upon issuance of license ARE/PE DEFERRED/DENIED: Scan to WORK FILE upon board action; dispose of after image verification FE EXAM PASSED: Scan to WORK FILE once exam results are processed; dispose of after image verification DATABASE RECORD: 100 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) ELECTRONIC WORK FILE: 20 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)	Records contained in agency database
83-11	HISTORICAL FILES	A variety of documents and other items which pertain to the history of the Board as determined by the Executive Director.	Permanent	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
83-12	INTERN FILES	Files for individuals who have applied and been enrolled as an Engineer Intern (EI) or have established a NCARB record for the purposes of documenting architectural experience in the National Council of Architectural Registration Boards' (NCARB) Architectural Experience Program (AXP, but have not started the exam application approval process. Files may include, but are not limited to: application, correspondence, supporting documentation, or educational debt reimbursement request.	<p>ENGINEER INTERN RECORD: PE OR PROFESSIONAL APPLICATION RECEIVED: Move to individual's EXAMINEE APPLICATION - EXAM PHASE FILES, item 83-14 OR PROFESSIONAL LICENSE - APPLICATION FILES, item 83-20</p> <p>ARCHITECTURAL EDUCATION DEBT REIMBURSEMENT REQUESTS: ORIGINAL RECORD: See ACCOUNTS PAYABLE, Item 124-1 COPY: Scan to individual's INTERN FILES, Item 83-18</p> <p>ARCHITECT INTERN RECORD: ARE OR PROFESSIONAL APPLICATION RECEIVED: Move to individual's EXAMINEE APPLICATION-EXAM PHASE FILES, item 83-14 OR PROFESSIONAL LICENSE-APPLICATION FILES, item 83-20</p> <p>DATABASE RECORD: 100 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)</p> <p>ELECTRONIC WORK FILE: 20 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)</p>	Records contained in agency database
83-13	MEETING MATERIALS - BOARD BOOKS	Books compiled for use during board meetings by the board members. Books may include, but are not limited to: agendas, financials, applications, compliance issues and information, committee reports, and other business types.	<p>BOARD BOOKS: 5 years after meeting date OR when no longer of administrative value as determined by the Executive Director (whichever is later)</p> <p>ELECTRONIC COPIES: 20 years after meeting date OR when no longer of administrative value as determined by the Executive Director (whichever is later)</p> <p>ALL OTHER COPIES: 5 years after meeting date OR when no longer of administrative value as determined by the Executive Director (whichever is later)</p> <p>OFFICIAL MEETING MINUTES AND AGENDA: See MEETING MINUTES AND MATERIALS, item 124-78</p>	Copies contained in paper and electronic files

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
83-14	PROFESSIONAL LICENSE - APPLICATION FILES	Files established by an individual to begin the licensing process in the State of Nebraska with the Board. Files may contain, but are not limited to: application completed by an individual, correspondence, supporting documentation requested by the Board, approved, deferred and denied files.	APPROVED: Scan to individual's ENGINEERS/ARCHITECTS - PROFESSIONAL FILE, item 83-9; dispose of after image verification DEFERRED/DENIED: Scan to WORK FILE upon board action; dispose of after image verification DATABASE RECORD: 10 years OR when no longer of administrative value, as determined by the Executive Director (whichever is later) ELECTRONIC WORK FILE: 10 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)	Records contained in agency database
83-15	PUBLICATIONS AND PUBLICATION FILES	Records for publication may include background material, copy (drafts), original art work, photo negatives, prints, flats, and final publication in any format including, but are not limited to: video, audio, electronic and Internet based publications.	ORIGINAL ART WORK: Dispose of after no longer of reference or educational value as determined by the Public Information Officer FINAL PUBLICATIONS/ PUBLICATION FILES: See PUBLICATIONS AND PUBLICATIONS FILES, item 124-97	Neb. Rev. Stat. §51-411 to §51-418
83-16	ROSTERS – ONLINE LICENSE SEARCH	Online license searches for records and public information requests received from the public on licensed architects and professional engineers. The database is used for online license searches that may include, but are not limited to: license number, expiration and related information.	ELECTRONIC RECORD: Dispose of after superseded	
83-17	TEMPORARY PERMIT FILES	Files established for temporary permits issued to licensed architects and professional engineers. Files may include, but are not limited to: application completed by the individual, correspondence, and supporting documents.	ORIGINAL RECORD: Scan to WORK FILE upon board action; dispose of after image verification DATABASE RECORD: 20 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) ELECTRONIC WORK FILE: 20 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)	Records contained in agency database
83-18	INACTIVE APPLICATION FILES	Files established by individuals in which all required documentation has not been received to begin the examination approval or licensing process in the State of Nebraska with the Board. Files may include, but are not limited to: applications or online application summary, exam results, correspondence, and supporting documents.	ORIGINAL RECORD: Scan to WORK FILE 1 year after receipt of application or 30 days after board disposition date (whichever is later); dispose of after image verification DATABASE RECORD: 10 years OR when no longer of administrative value as determined by the Executive Director (whichever is later) ELECTRONIC WORK FILE: 10 years OR when no longer of administrative value as determined by the Executive Director (whichever is later)	Records contained in agency database and paper files

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

Container	Cubic Feet	Weight (lbs)	Sheets of Paper (8.5" x 11")	Electronic Data Equivalent
			1	20 Kb
			52	1 Mb (1024 Kb)
			53,687	1 Gb (1024 Mb)
N/A	N/A	2,204 lbs (1 metric ton)	220,000	4.1 Gb
Records center carton	1 Cu. Foot	16.66 lbs	1,667	32 Mb
Vertical File Cabinet, 4 drawer letter-size	6 Cu. Feet	100 lbs	10,000	190 Mb
Vertical File Cabinet, 4 drawer legal-size	8 Cu. Feet	133.3 lbs	13,333	254 Mb
About a pickup load	50 Cu. Feet	7,500 lbs	748,638	14 Gb